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|--|---|---|--|
| Form PTO 1390<br>(REV 5-93)  |   | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER<br>B45168                                     |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED / ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371 |   |   | U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)<br><b>09/868604</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/EP99/10297  | INTERNATIONAL FILING DATE<br>21 December 1999 | PRIORITY DATE CLAIMED<br>21 December 1998               |  |
| TITLE OF INVENTION<br>VACCINE  |   |   |  |
| APPLICANT(S) FOR DO/EO/US<br>Alex BOLLEN, Alain FAUCONNIER, and Edmond GODFROID  |   |   |  |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

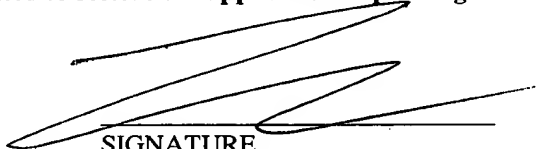
11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; and Form PTO-1449.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☒ Please amend the specification by inserting before the first line the sentence: This is a 371 of International Application PCT/EP99/10297, filed December 21, 1999, which claims benefit from the following Provisional Application: GB 9828217.1 filed 21 December 1998.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ An Abstract on a separate sheet of paper.
19. ☒ Other items or information: Sequence Listing, Statement to Support, Diskette

|  |                  |   |                     |                                |           |
|--|------------------|---|---------------------|--------------------------------|-----------|
| US APPLICATION NO. (if known see 37 CFR 1.50)<br><b>09/868604</b>  |                  | INTERNATIONAL APPLICATION NO.<br>PCT/EP99/10297 |                     | ATTORNEYS DOCKET NO.<br>B45168 |           |
| 20. [X] The following fees are submitted:  |                  |   |                     | CALCULATIONS PTO USE ONLY      |           |
| <b>Basic National Fee (37 C.F.R. 1.492(a)(1)-(5)):</b>   |                  |   |                     | <b>\$710.00</b>                |           |
| Search Report has been prepared by the EPO or JPO ..... <b>\$860.00</b>  |                  |   |                     |                                |           |
| International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) ..... <b>\$690.00</b>   |                  |   |                     |                                |           |
| No International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... <b>\$710.00</b>  |                  |   |                     |                                |           |
| Neither International Preliminary Examination Fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$1,000.00</b>   |                  |   |                     |                                |           |
| International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... <b>\$100.00</b>  |                  |   |                     |                                |           |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>  |                  |   |                     | <b>\$710.00</b>                |           |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).       |                  |   |                     | <b>\$0.00</b>                  |           |
| Claims   | Number Filed     | Number Extra                                    | Rate                |                                |           |
| Total claims   | <b>99 - 20 =</b> | <b>79</b>                                       | <b>79 x \$18.00</b> | <b>\$1422.00</b>               |           |
| Independent claims   | <b>10 - 3 =</b>  | <b>7</b>  | <b>7 x \$80.00</b>  | <b>\$560.00</b>                |           |
| Multiple dependent claims (if applicable)  |                  |   | <b>+ \$270.00</b>   | <b>\$270.00</b>                |           |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |                  |   |                     | <b>\$2252.00</b>               |           |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).   |                  |   |                     | <b>\$</b>                      |           |
| <b>SUBTOTAL =</b>  |                  |   |                     | <b>\$2962.00</b>               |           |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)) + |                  |   |                     | <b>\$</b>                      |           |
| <b>TOTAL NATIONAL FEE =</b>  |                  |   |                     | <b>\$2962.00</b>               |           |
|  |                  |   |                     | Amount to be refunded          | <b>\$</b> |
|  |                  |   |                     | charged                        | <b>\$</b> |

- a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 19-2570 in the amount of **\$2962.00** to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2570. A duplicate copy of this sheet is enclosed.
- d. ☒ General Authorization to charge any and all fees under 37 CFR 1.16 or 1.17, including petitions for extension of time relating to this application (37 CFR 1.136 (a)(3)).

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:  
**GLAXOSMITHKLINE**  
 Corporate Intellectual Property - UW2220  
 P.O. Box 1539  
 King of Prussia, PA 19406-0939  
 Phone (610) 270-5024  
 Facsimile (610) 270-5090

  
 SIGNATURE  
 Zoltan Kerekes  
 NAME  
38,938  
 REGISTRATION NO.

PATENT  
ATTORNEY'S DOCKET NUMBER B45168

TRANSMITTAL LETTER TO THE U.S. DESIGNATED OFFICE  
(DO/US) - ENTRY INTO NATIONAL STAGE UNDER 35 USC 371

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|------------------------|---------------------------|-----------------------|
| INTERNATIONAL APP. NO. | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED |
| PCT/EP99/10297         | 21 December 1999          | 21 December 1998      |

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TITLE OF INVENTION  
VACCINE

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APPLICANT(S) FOR DO/US  
Alex BOLLEN, Alain FAUCONNIER, and Edmond GODFROID

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Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231  
ATTENTION: DO/US

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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Transmittal Letter, Form PTO 1390 and the papers indicated as being transmitted therewith, and Post Card are being deposited with the United States Postal Service on this date June 20, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL737849077US addressed to the:

Assistant Commissioner for Patents, Washington, D.C. 20231.

Sabrina Smith  
(Typed or printed name of person mailing paper)

Sabrina Smith  
(Signature of person mailing paper)